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Approved For Release 2006/04/13 : CIA-RDP72-00039R000100100002-6

OFFICE OF LOGISTICS
PROCUREMENT NOTE NO. 34

23 MAR 1970

RETIREMENT OF CONTRACT PROCUREMENT RECORDS

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REFERENCES : a. [REDACTED] Records, 15 April 1964
b. Logistics Instruction 70-5, Vital Records Program,
5 July 1968
c. Logistics Instruction 70-6, Records Maintenance and
Disposition, 5 July 1968

RECISION : Procurement Note No. 27, dated 25 June 1969, same subject

1. GENERAL

In accordance with agreements reached among the several decentralized contracting teams and their host Offices or Directorates, the following policies and procedures will apply to the retirement and disposal of contract procurement records and vital records or material associated therewith. Procurement Division, OL will continue to follow the procedures set out in the references.

2. PRIMARY RECORDS

a. General Services Administration regulations implement the various statutory requirements and authorities for the retention periods and disposal of federal procurement records. In general, procurement files concerning transactions valued at more than \$2,500 must be retained by the Agency for at least six years after final payment before destruction is authorized; those concerning transactions valued at \$2,500 or less must be retained for at least three years after final payment before destruction is authorized. Storage and destruction of such files is the responsibility of the Agency Records Center.

b. Temporary retention of completed files in the current working area of each decentralized contracting team, prior to their retirement to the Agency Records Center, will be at the discretion of each team.

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c. Each team will be responsible for arranging the physical movement of its completed contract files to the Records Center after completing the necessary packaging, labeling, and documentation. When contract records are eligible for retirement, the custodian of the records will complete Part I of Records Retirement Request (Form 140) and a Records Shelf List (Form 140a). Sample copies of the forms are attached and general instructions for their preparation are described on each.

d. Since contract procurement records may be destroyed according to two different time periods, it is recommended that files of transactions over \$2,500 be processed separately from those of \$2,500 or less to permit a more orderly disposition program at the Records Center.

e. Forms completed in accordance with paragraph 2.c. above will be sent to the Office of Logistics Area Records Officer (OL/ARO) who will complete Part II of Form 140 and forward the necessary copies to the Records Center for acceptance and the assignment of a reference job number. The "Restrictions on Use of Records" block of Part II will contain both the office designation of the contracting team concerned and "Director of Logistics, or his designee." The rights of reference to the files will not be extended to any other Agency component without the approval of the Director of Logistics after coordination with the chief of the contracting team concerned. The "Cite Schedule or Authority" block (Part II, Form 140) will contain an Office of Logistics Records Control Schedule number which will be inserted by the OL/ARO.

f. Copies of the approved Records Retirement Request and the Records Shelf List prepared by each team will be provided to the team's custodian of records, and copies will be retained by the OL/ARO. Shelf Lists and job numbers will be used to identify those records which might need to be recalled for reference purposes. Both the team concerned and the Director of Logistics, or his designee, may independently request the records for reference use.

g. Before retiring its records to the Records Center, each contracting team must insure that its contract procurement files contain only contractual documents and supporting papers and that no sensitive operational information is included.

h. The OL/ARO can provide guidance to team records custodians in the performance of their responsibilities concerning contract procurement records.

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i. A host Office or Directorate may include contract procurement records in its own Records Control Schedule, however, it is suggested that the entry indicate the Office of Logistics as the office-of-record since that Office has the ultimate responsibility for all Agency procurement. *J.K.*

3. VITAL RECORDS AND MATERIAL

a. Vital records and material considered in this Procurement Note are those specific procurement documents, records, or reference material in the possession of each team which are essential to its continued operation in an emergency and which, in the event of their destruction, would constitute an irreplaceable loss. Examples of such vital documents are: contracts, purchase orders, amendments, letters, or any other documents which affect the terms of the procurement instrument.

b. Vital material is sent to the Agency Records Center on Tuesday of each week by the OL/ARO. Teams having vital material for transmittal to the Records Center should complete Vital Materials Transfer Slip (Form 620) and forward it, with the material, to the OL/ARO by Monday of each week. The control number for each group of material will be assigned by the OL/ARO.

c. Elements forwarding vital material are encouraged to arrange it in alphabetical order by contractor name before forwarding it to the OL/ARO.

d. Vital material will be filed separately at the Records Center according to each procurement element. Periodically, the OL/ARO will withdraw the vital material and return it to the interested element for review, update, and redeposit as appropriate.

4. PROJECT CASE FILES

Policies and procedures for the maintenance and retirement of contract procurement records set out in this Procurement Note are in no way concerned with the maintenance and retirement of Research and Development Project Case Files. The retirement and disposal of project case files are governed by the criteria of a separate General Records Schedule, are the responsibility of project and/or technical

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officers, and the only responsibility of a contracting officer in connection therewith is to provide copies of contractual documentation which must be made a part of such files.

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John F. Blake
Director of Logistics

Atts

Distribution:

②- DD/S
1 - PMS/DD/S&T
1 - PMS/ORD/DD/S&T
1 - SC&PB/OEL/DD/S&T
1 - CS/CMG/DD/P
1 - SC&PS/TSSG/NPIC/DD/I
2 - PD/OL

All distribution with attachments.

TAB

| RECORDS RETIREMENT REQUEST | | ASSIGNED BY RECORDS CENTER | | | | | | | | |
|---|---------------------------------|---|------|---|-------------------|---------------------------------|-------------------------------------|--|--|--|
| <p>Submit original and 4 copies to Records Center. Two copies will be returned to the originating office. Additional copies may be prepared as indicated by your RAO.</p> | | JOB NO. | | | | | | | | |
| <p>PART I (TO BE COMPLETED BY THE RECORDS CUSTODIAN)</p> <table border="1"> <tr> <td rowspan="2">TO: CHIEF, ARCHIVES AND RECORDS CENTER</td> <td>FROM: (Office)</td> <td>DIVISION</td> </tr> <tr> <td>BRANCH</td> <td>SECTION</td> </tr> </table> | | | | TO: CHIEF, ARCHIVES AND RECORDS CENTER | FROM: (Office) | DIVISION | BRANCH | SECTION | | |
| TO: CHIEF, ARCHIVES AND RECORDS CENTER | FROM: (Office) | DIVISION | | | | | | | | |
| | BRANCH | SECTION | | | | | | | | |
| <p>APPLICATION IS MADE FOR RETIREMENT OF THE RECORDS DESCRIBED BELOW</p> <p>DESCRIPTION OF FILE SERIES (Use description in Records Control Schedule and inclusive dates.) IF NECESSARY TO LIST RECORDS, USE FORM NO. 140a, RECORDS SHELF LIST (Check appropriate box below.)</p> | | | | | | | | | | |
| <input type="checkbox"/> SHELF LIST ATTACHED | | <input type="checkbox"/> SHELF LIST INCLUDED IN TRANSFER | | | | | | | | |
| CLASSIFICATION OF RECORDS | | FILE EQUIPMENT OCCUPIED BY RECORDS <input type="checkbox"/> LETTER <input type="checkbox"/> OTHER (Specify) <input type="checkbox"/> LEGAL _____ NUMBER OF DRAWERS | | | | | | | | |
| APPROXIMATE REFERENCE ACTIVITY PER MONTH | | | | | | | | | | |
| LOCATION OF RECORDS | | | | | | | | | | |
| BUILDING | ROOM | EXTENSION | DATE | SIGNATURE OF RECORDS CUSTODIAN | | | | | | |
| <p>PART II (TO BE COMPLETED BY THE RECORDS ADMINISTRATION OFFICER)</p> <table border="1"> <tr> <td>TYPE OF MATERIAL</td> <td><input type="checkbox"/> RECORD</td> <td><input type="checkbox"/> NON-RECORD</td> </tr> <tr> <td colspan="3">RESTRICTIONS ON USE OF RECORDS (If no restrictions write "None")</td> </tr> </table> | | | | | TYPE OF MATERIAL | <input type="checkbox"/> RECORD | <input type="checkbox"/> NON-RECORD | RESTRICTIONS ON USE OF RECORDS (If no restrictions write "None") | | |
| TYPE OF MATERIAL | <input type="checkbox"/> RECORD | <input type="checkbox"/> NON-RECORD | | | | | | | | |
| RESTRICTIONS ON USE OF RECORDS (If no restrictions write "None") | | | | | | | | | | |
| DISPOSITION AUTHORIZATION | | | | | | | | | | |
| CITE SCHEDULE OR AUTHORITY | | | | SCHEDULED DESTRUCTION DATE | | | | | | |
| BUILDING | ROOM | EXTENSION | DATE | SIGNATURE OF RECORDS ADMINISTRATION OFFICER | | | | | | |

PART III (TO BE COMPLETED BY THE RECORDS CENTER)

REFERENCE ACTIVITY

STORAGE LOCATION

| JOB NO. | AREA | ROW | SPACE |
|---------|------|-----|-------|
| | | | |

DISPOSAL ACTIVITY

| OFFICE | DIVISION | BRANCH | SECTION | DISPOSAL DATE |
|--------|----------|--------|---------|---------------|
|--------|----------|--------|---------|---------------|

AUTHORITY FOR DISPOSAL

| SCHEDULE NO. (or List) | PAGE | ITEM |
|------------------------|------|------|
| | | |

REMARKS

RECEIPT PROCESSING

| CUBIC FEET | NO. OF CONTAINERS | TYPE OF CONTAINERS | DATE RECEIVED | RECEIVED BY |
|------------|-------------------|--------------------|---------------|-------------|
| | | | | |

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| RECORDS SHELF LIST | | | JOB NO. |
|--|-----------------------|--------|-------------------------|
| | | | TOTAL NO. OF CONTAINERS |
| <i>NOTE: Prepare in Triplicate and submit original and one to Records Center</i> | | | |
| OFFICE | DIVISION | BRANCH | SECTION |
| CONTAINER NO. | DESCRIPTION AND DATES | | |
| | | | |

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OFFICE OF ORIGIN

SECURITY CLASSIFICATION

DEPOSIT NUMBER

| VRDS | | DATE OF DOCUMENT(S) | Approved For Release 2006/04/13 : CIA-RDP72-00039R000100100002-6 DESCRIPTION OF MATERIAL | |
|------|------|---------------------|---|--|
| CAT. | ITEM | | | |
| | | | | |

REMARKS

DATE RELEASED SIGNATURE OF DEPOSITOR

DATE RECEIVED SIGNATURE OF VRR OFFICIAL

NO. OF DOCUMENTS

NO. OF REELS

SECURITY CLASSIFICATION

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OFFICE OF ORIGIN

SECURITY CLASSIFICATION

DEPOSIT NUMBER

| VNRDS | | DATE OF DOCUMENT(S) | Approved For Release 2006/04/13 : CIA-RDP72-00039R000100100002-6 | |
|-------|------|---------------------|--|--|
| CAT. | ITEM | | DESCRIPTION OF MATERIAL | |
| | | | | |

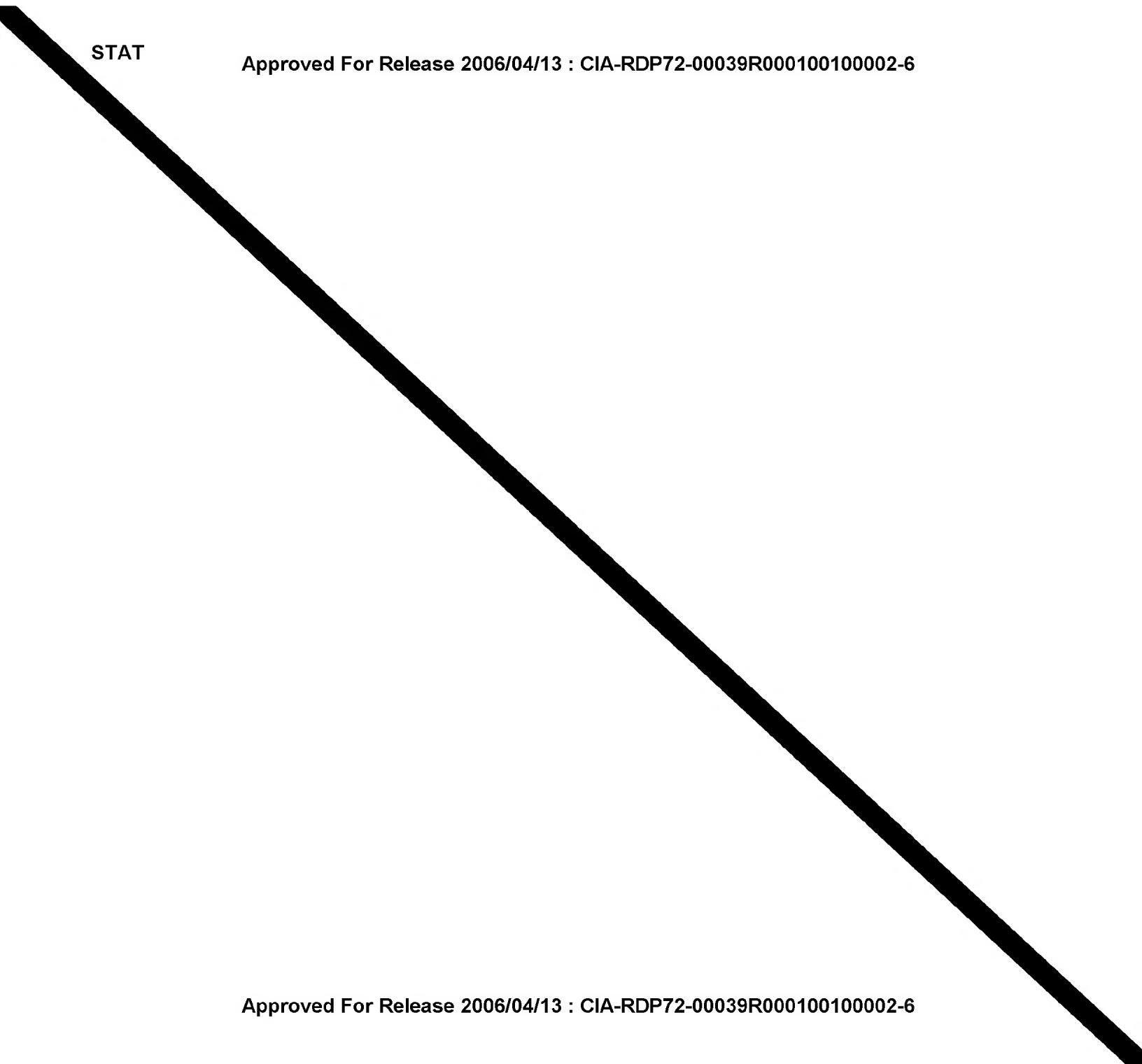
| REMARKS | | DATE RELEASED | SIGNATURE OF DEPOSITOR |
|---------|--|---------------|---------------------------|
| | | | |
| | | DATE RECEIVED | SIGNATURE OF VRR OFFICIAL |
| | | | |

NO. OF DOCUMENTS

NO. OF REELS

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FILES

There are two (2) separate and distinct files associated with R&D activity in the Agency.

PROJECT FILES

Project files are established and maintained primarily for two (2) reasons; (1) monitor the progress of the project and the contractor, and (2) to satisfy the requirements of the General Services Administration (GSA), General Records Schedule 19, Item 3.

Project files should be maintained in sufficient detail so that any competent engineer or scientist could proceed with the project if necessary. Inclusions of non-essential material results in confusion, as does retention of material otherwise not pertinent. Although not all items will be required for all projects, files could be arranged with sections in the following sequence:

- (a) Pre-RFP Action
- (b) RFP Solicitation
- (c) RFP Evaluation
- (d) Negotiation
- (e) Contract
- (f) Contract Amendments or Changes of Scope
- (g) Technical Reports and Correspondence
- (h) Drawings and Specifications
- (i) Notice of Completion or Cancellation
- (j) Miscellaneous

CONTRACT FILES

Contract files are maintained by the Contracting Officer and they should reflect basically the same information as outlined in the project files excluding the material relating to the technical monitoring of the project itself, e.g., Technical reports, drawings and specifications, test and trial results, etc. The established decentralized Procurement Management Teams are responsible for the maintainence of the official contract file for the host office and the O/Logistics. The contract files are maintained for administrative and legal obligations and in accordance with GSA General Records Schedule 3, Item 4.

RETIREMENT

PROJECT FILES

Copies of the successful proposals are filed with the Project file. The unsuccessful proposals are retained by the Project Office for an additional

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5 years, in accordance with GSA Records Schedule 19, Item 12. Provisions for retirement to the Agency Records Center may be authorized and should be reflected in the Agency Component's authorized Records Control Schedule. This will substantially reduce the bulk of most files in the file area as soon as the evaluation of the bidders has been completed.

The project file should be retained in the current files area until the contract is completed and final payment has been made to the contractor.

Where volume is a factor, it may be practical to retire inactive material to the Agency Records Center. This may be done by contacting the respective Office Records Management Officer for the necessary procedures and authorization.

CONTRACT FILES

Before retiring its records to the Records Center each contracting team must insure that its contract procurement files contain only contractual documents and supporting papers and that no sensitive operational information is included. The contracting team will also insure that the project files have the necessary supporting contractual information to satisfy its requirements.

The OL/RMO will provide guidance to team records custodians in the performance of their responsibilities concerning contract procurement records.

Note:

In the cases where non-Agency funds are used for sensitive compartmented projects, procedures and retention periods for contract files are maintained and retired by the Project Officer.

Memo For: ~~Mr.~~ Chief, Support Services Staff
Subject: Office of Record for Contract Personnel Files

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